Exhibit 300 (BY2008)

PART ONE

OVERVIEW

1. Date of Submission:	2006-11-07
2. Agency:	015
3. Bureau:	04
4. Investment Name:	Cross Border Funds Transmittal
5. UPI:	015-04-01-12-01-1010-00

6. What kind of investment will this be in FY2008?

Planning

7. What was the first budget year this investment was submitted to OMB?

FY2007

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap.

The Cross Border Funds Transmittal investment is a direct outgrowth of the Intelligence Reform and Terrorism Prevention Act of 2004 mandating increased efforts to combat money laundering and financial crimes and more authority to track cross-border financial transactions. Information relating to funds transfers, particularly those involving funds going into or out of the U.S., can be highly useful in preventing and detecting money laundering and terrorist financing. The Bank Secrecy Act requires U.S. financial institutions to record certain information about funds transfers exceeding $3,000. Cross-border electronic funds transfer information generally contains only a few data elements. However, even these relatively few data elements add immensely to the ability of investigators and analysts to identify illicit activity. The Bank Secrecy Act as it has evolved over the years provides transparency to America's financial systems, making it difficult for criminals to launder the proceeds of their crimes without risk of detection. However, criminals can still move funds internationally with relative impunity. Unless the pattern of funds transfers itself is clearly suspicious or other information becomes known to the financial institution sufficient to cause the filing of a Suspicious Activity Report, the transaction will be effectively invisible. By its very nature, a system for collecting wire transmittal data would add a valuable layer of context and understanding to the current BSA data collection. If analysts and investigators have ready access to electronic funds transfer data, they could use that data to gain a fuller understanding of the operation of the U.S. financial system than is currently possible, more effectively identify suspicious patterns of financial activity, conduct more in-depth research into the activity of identified investigative subjects, and more quickly identify and locate persons of investigative interest as well as their associates and bank accounts.

9. Did the Agency's Executive/Investment Committee approve this request?

yes

9.a. If "yes," what was the date of this approval?

2006-08-09

10. Did the Project Manager review this Exhibit?

yes

11. Project Manager Name:

Project Manager Phone:

Project Manager Email:

12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project.

yes

12.a. Will this investment include electronic assets (including computers)?

yes

12.b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)

no

13. Does this investment support one of the PMA initiatives?

yes

If yes, select the initiatives that apply:

Expanded E-Government

14. Does this investment support a program assessed using OMB's Program Assessment Rating Tool (PART)?

no

14.a. If yes, does this investment address a weakness found during the PART review?

no

15. Is this investment for information technology (See section 53 for definition)?

yes

16. What is the level of the IT Project (per CIO Council's PM Guidance)?

Level 2

17. What project management qualifications does the Project Manager have? (per CIO Council's PM Guidance)

(1) Project manager has been validated as qualified for this investment

18. Is this investment identified as high risk on the Q4 - FY 2006 agency high risk report (per OMB's high risk memo)?

yes

19. Is this a financial management system?

no

19.a.2. If no, what does it address?

Intelligence Reform Act of 2004 Section 6302

20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)

Hardware	0
Software	0
Services	95
Other	5

21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?

n/a

22. Contact information of individual responsible for privacy related questions.

Name

Phone Number

Title

Privacy Officer

Email

23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?

yes

SUMMARY OF SPEND

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated Government FTE Cost, and should be excluded from the amounts shown for Planning, Full Acquisition, and Operation/Maintenance. The total estimated annual cost of the investment is the sum of costs for Planning, Full Acquisition, and Operation/Maintenance. For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

All amounts represent Budget Authority

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 & Earlier	PY	CY
	-2005	2006	2007
Planning Budgetary Resources	0.000	0.647	0.000
Acquisition Budgetary Resources	0.000	0.000	9.770
Maintenance Budgetary Resources	0.000	0.000	0.000
Government FTE Cost	0.070	0.183	0.330
# of FTEs	1	1	2

Note: For the cross-agency investments, this table should include all funding (both managing partner and partner agencies).

Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's?

yes

2.a. If "yes," how many and in what year?

1 in 2007

PERFORMANCE

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

All new IT investments initiated for FY 2005 and beyond must use Table 2 and are required to use the FEA Performance Reference Model (PRM). Please use Table 2 and the PRM to identify the performance information pertaining to this major IT investment. Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for at least four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov.

Table 2

	Fiscal Year	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
1	2007	Mission and Business Results	Crime Prevention	Develop Project Plans	5%	Increase Projec plans to 100%	

EA

In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates the relationship between the investment and the business, performance, data, services, application, and *technology layers of the agency's EA.*

1. Is this investment included in your agency's target enterprise architecture?

yes

1.a. If no, please explain why?

2. Is this investment included in the agency's EA Transition Strategy?

yes

2.a. If yes, provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment.

Cross Border Funds Transmittal

3. Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to http://www.whitehouse.gov/omb/egov/.

Component: Use existing SRM Components or identify as NEW. A NEW component is one not already identified as a service component in the FEA SRM.

Reused Name and UPI: A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.

Internal or External Reuse?: Internal reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. External reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.

Funding Percentage: Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service.

	Agency Component Name	Agency Component Description	Service Type	Component	Reused Component Name	Reused UPI	Internal or External Reuse?	Funding %
1	Search	Information Retrieval	Knowledge Management	Information Retrieval			Internal	20
5	Authorization	Provide capabilities to support authorization.	Customer Relationship Management	NEW			Internal	2
6	Administration	Provide capabilities to support the administration of user, application, system, and network accounts.	Customer Relationship Management	NEW			Internal	2
7	Permissions	Provide capabilities to support the user rights and permissions management.	Customer Relationship Management	NEW			Internal	2
8	On-Line Help	Permits on-line customers to access an electronic interface to customer assistance.	Customer Initiated Assistance	Online Help			Internal	3

9	On-Line Training	Permit on-line customers to access an electronic interface to assist customers to learn how to query wire transfer data.	Customer Initiated Assistance	Online Tutorials			Internal	3
11	Web Design	Provide a tool to create the web pages.	Content Management	Content Authoring			Internal	5
12	Alerts	Provide alerts when multiple users are researching the same suspects.	Customer Preferences	Alerts and Notifications			Internal	5
13	User Accounts	Manage the wire transfer user accounts.	Customer Relationship Management	Customer / Account Management			Internal	5
14	Integration of Data	Integrate the wire transfer data into the query system.	Development and Integration	Data Integration			Internal	5
15	Application	Develop software to query the wire transfer forms.	Development and Integration	Software Development			Internal	10
17	Query	A report writer is used to provide capabilities for dynamic and on-demand reporting needs to access wire transfer data.	Reporting	Ad Hoc			Internal	5
18	Query	Provide capabilities for pre-conceived wire transfer data reporting needs	Reporting	Standardized / Canned			Internal	5
19	Data Mining	Provide capabilities to support exploring and analyzing the wire transfer data to uncover patterns and relationships.	Knowledge Discovery	Data Mining			Internal	5
20	Data Loads	Load the raw data into the wire transfer database.	Data Management	Loading and Archiving			Internal	10
21	Data Recovery	Provide capabilities to restore and to stabilize the BSA data to a consistent, desired state.	Data Management	Data Recovery			Internal	2
22	ETL	Provide	Data	Data			Internal	5

		capabilities to ensure the data is stored in desired formats.	Management	Cleansing				
23	Data Mart	Provide capabilties to support a subset of the data for a set of specified objectives.	Data Management	Data Mart			Internal	1
24	Data Warehouse	Provide capabilities to support the archiving and storage of wire transfer data.	Data Management	Data Warehouse			Internal	2

4. To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

FEA SRM Component: Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications.

Service Specification: In the Service Specification field, Agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

	SRM Component	**Service Area**	**Service Category**	**Service Standard**	**Service Specification (i.e., vendor and product name)**
1	Information Sharing	Service Access and Delivery	Access Channels	Collaboration / Communications	MS Internet Explorer, Netscape, Robohelp, Trainer Soft
5	Data Warehouse	Service Access and Delivery	Service Requirements	Legislative / Compliance	No procurement has been processed yet.
7	Customer / Account Management	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	No procurement has been processed yet.
8	Data Warehouse	Service Access and Delivery	Service Requirements	Hosting	No procurement has been processed yet.
9	Data Warehouse	Service Access and Delivery	Delivery Channels	Virtual Private Network (VPN)	No procurement has been processed yet.
10	Data Warehouse	Service Platform and Infrastructure	Support Platforms	Platform Independent	No procurement has been processed yet.
11	Online Tutorials	Service Platform and Infrastructure	Delivery Servers	Web Servers	No procurement has been processed yet.
12	Content Authoring	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	No procurement has been processed yet.
13	Data Cleansing	Service Platform and Infrastructure	Database / Storage	Database	No procurement has been processed yet.
14	Loading and Archiving	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	No procurement has been processed yet.
15	Data Warehouse	Service Platform and Infrastructure	Software Engineering	Test Management	No procurement has been processed yet.

16	Software Development	Service Platform and Infrastructure	Software Engineering	Modeling	No procurement has been processed yet.
18	Software Development	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	No procurement has been processed yet.
19	Digital Signature Management	Component Framework	Security	Certificates / Digital Signatures	No procurement has been processed yet.
20	Software Development	Component Framework	Presentation / Interface	Static Display	No procurement has been processed yet.
21	Software Development	Component Framework	Business Logic	Platform Independent	No procurement has been processed yet.
22	Alerts and Notifications	Component Framework	Data Interchange	Data Exchange	No procurement has been processed yet.
24	Data Integration	Service Interface and Integration	Interoperability	Data Types / Validation	No procurement has been processed yet.
25	Data Integration	Service Interface and Integration	Interoperability	Data Format / Classification	No procurement has been processed yet.
26	Data Integration	Service Interface and Integration	Interface	Service Description / Interface	No procurement has been processed yet.
28	Data Warehouse	Service Access and Delivery	Service Requirements	Hosting	No procurement has been processed yet.
29	Software Development	Service Platform and Infrastructure	Software Engineering	Test Management	No procurement has been processed yet.
32	Data Mining	Component Framework	Data Management	Reporting and Analysis	No procurement has been processed yet.
33	Data Integration	Service Platform and Infrastructure	Delivery Servers	Application Servers	No procurement has been processed yet.
36	Data Integration	Service Platform and Infrastructure	Delivery Servers	Portal Servers	No procurement has been processed yet.
37	Software Development	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	No procurement has been processed yet.

5. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?

No

6. Does this investment provide the public with access to a government automated information system?

No

PART TWO

RISK

You should perform a risk assessment during the early planning and initial concept phase of the investment's life-cycle, develop a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

Answer the following questions to describe how you are managing investment risks.

1. Does the investment have a Risk Management Plan?

no

2. If there is currently no plan, will a plan be developed?

yes

2.a. If yes, what is the planned completion date?

2007-12-31

3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule: (O&M investments do NOT need to answer.)

The preliminary life cycle cost estimate is based on Requests for Information(several RFI's from 2005). Investment risks were not factored into those proposals specifically as they were based on a rough order of magnitude for the project and spanned a great deal of options and considerations. Risks were not known at that time and this investment does not yet have a risk management plan. One will be developed once it is funded and approved. At that time an accurate life cycle cost estimate with factored in risks will be determined.

COST & SCHEDULE

Does the earned value management system meet the criteria in ANSI/EIA Standard 748?

yes

2.a. What is the Planned Value (PV)?

0.400

2.b. What is the Earned Value (EV)?

0.398

2.c. What is the actual cost of work performed (AC)?

0.278

What costs are included in the reported Cost/Schedule Performance information?

Contractor and Government

2.e. As of date:

2006-09-30

3. What is the calculated Schedule Performance Index (SPI= EV/PV)?

1

4. What is the schedule variance (SV = EV-PV)?

-0.002

5. What is the calculated Cost Performance Index (CPI = EV/AC)?

1.43

6. What is the cost variance (CV = EV-AC)?

0.120

7. Is the CV or SV greater than 10%?

yes

7.a. If yes, was it the CV or SV or both?

CV

7.b. If yes, explain the variance.

The project has a large positive cost variance. The project is under budget. The schedule variance is negative. The project shows it is behind schedule but at this point progress will be determined based on a decision from Congress regarding the feasibility study. Since this project is something neither FinCEN nor other organizations have done before, we had very little to go by in estimating the conceptualization/planning phase of this project which is still depending on approval to become a viable project.

7.c. If yes, what corrective actions are being taken?

The FY 2006 budget for CBWT came from FinCEN's general operating budget. FinCEN won't have funds for this project to get the next phase underway until Congress passes the appropriation bill. A Baseline Change Request will be submitted.

7.d. What is most current Estimate at Completion?

8. Have any significant changes been made to the baseline during the past fiscal year?

yes